

1/21

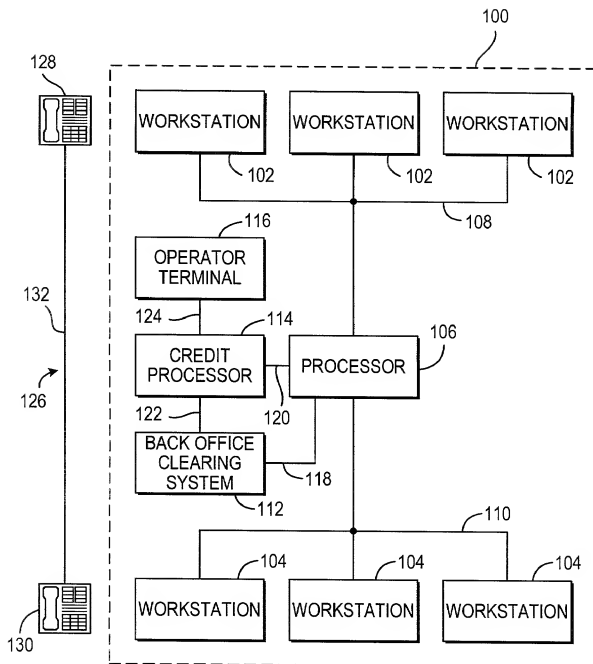
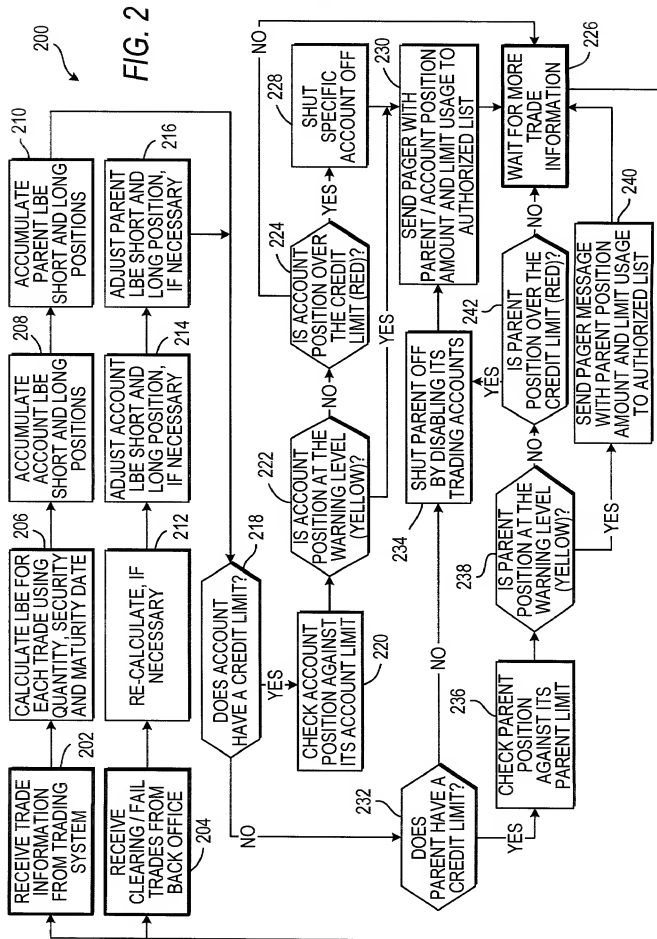


FIG. 1

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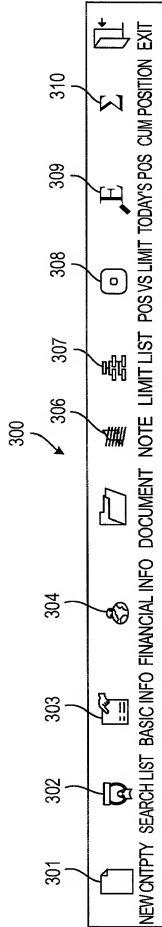


FIG. 3

4/21

EDIT BASIC INFORMATION FOR COUNTERPARTY
400

**BASIC INFORMATION** 422

COUNTERPARTY ID: 1788 CREDIT STATUS: FROZEN 424

COUNTERPARTY NAME: REPUBLIC TRADING

430 SHORT NAME: RETRADE 428 432 426

DATE FORMED: 010/00/0000 RPT CNTRY CODE: TOGO 434

TAX NBR: 123 456 7890 436

440 TYPE: OPARENT LEGAL ENTITY 438 436

444 PARENT NAME: REPUBLIC HOLDINGS 448

DATE MODIFIED: 08/12/1999 17:01:11 USER MODIFIED: JONES 446

**CONTACT INFORMATION** 404

NAME: JOHN SMITH DEPT: ACCOUNTING

PHONE: 555 - 1234 TITLE: VP

**PARENT INFORMATION** 406

PARENT ID: 1661 CLASSIFICATION: HOLDINGS COMPANY 448

PARENT NAME: REPUBLIC HOLDINGS 452

STATE: 454 COUNTRY: ITALY 456

GEO.REGION: EUROPE 458

**ADDRESS INFORMATION** 408

TYPE: CREDIT MAILING

ADDR STREET1: 1 MAIN STREET

ADDR STREET2: SUITE 100

CITY: NEW YORK

STATE: NY POSTAL CODE: 10001 442

COUNTRY: UNITED STATES

GEO REGION: NORTH AMERICA

**DESCRIPTOR INFORMATION** 410

CLASSIFICATION PRIMARY DEALER

LINK TO:

SAVE 412
CONTACT 414
ADDRESS 416
DESCRIPTOR 418

CLOSE 420

FIG. 4

5/21

500

COUNTERPARTY CONTACT INFORMATION

502

REPUBLIC TRADING

504

CONTACT INFORMATION

518

FIRST NAME: JOHN

520

CONTACT ID: 76

522

LAST NAME: SMITH

MIDDLE INITIAL:

USER MODIFIED: VCOUGHLI

DATE MODIFIED: 12/22/1999 16:05:22

GENDER: ☒ M ☐ F

506

508

510

DEPT: ACCOUNTING

512

POSITION: CREDIT MANAGER

514

TITLE: VP

PHONE: 212 555-1234

524

526

528

SAVE DELETE CLOSE

FIG. 5

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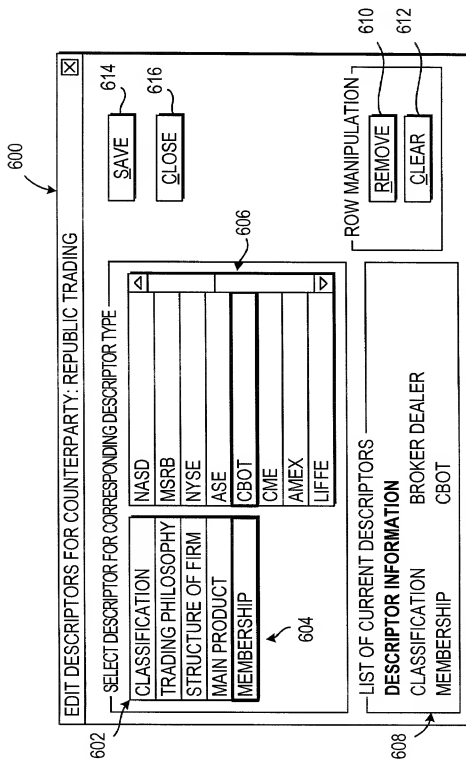


FIG. 6

700

SELECT COUNTERPARTY

VIEW OPTIONS 702

☒ COUNTERPARTY LIST 706

☐ PARENT TREEVIEW 708

ID	COUNTERPARTY NAME	CLASSIFICATION	CREDIT STATUS	STATE	CNTRY	GEO. REGION	TYPE	RPT COUNTRY	PARENT NAME
1788	REPUBLIC TRADING	PRIMARY DEALER	FROZEN	NY	UNITED STATES	NORTH AMERICA	LE	TOGO	REPUBLIC HOLDING
1791	READY TRADE	PRIMARY DEALER	OPEN	NY	UNITED STATES	NORTH AMERICA	LE		READY ENTERPRISES
845	RESEARCH FINANCIAL	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	LE		
836	REPOS UNLIMITED	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	P		

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FIG. 8

SELECT COUNTERPARTY

VIEW OPTIONS

COUNTERPARTY LIST

PARENT TREEVIEW

PARENT TREEVIEW LIST

1661 REPUBLIC HOLDINGS

1665 READY ENTERPRISES

1791 READY TRADE

845 RESEARCH FINANCIAL

836 REPOS UNLIMITED

LEGAL ENTITY LIST

ADDITIONAL INFORMATION

COUNTERPARTY INFORMATION

COUNTERPARTY ID: 845 CLASSIFICATION: UNCLASSIFIED

COUNTERPARTY NAME: RESEARCH FINANCIAL

STATE: NY COUNTRY: UNITED STATES

GEO. REGION: NORTH AMERICA

LAST FINANCIAL STATEMENT

STATEMENT ID: 65 DATE: 12/22/1999 STATUS: AUDITED

PARENT INFORMATION

PARENT ID: CLASSIFICATION:

PARENT NAME: COUNTRY:

STATE: GEO. REGION:

SELECT CLOSE



900 9/21

FINANCIAL STATEMENTS

REPUBLIC TRADING

☐ ☐ ☐

STATEMENT LIST

ID	STMT DT	STMT	STATUS	CNCY	ID USER	DT MODIFIED
65	12/22/1999	AUDITED	USD	VCOUGHLI	12/22/1999 16:10:30	

906

902

STATEMENT DETAIL

STATEMENT ID: 65

DT MODIFIED: 12/22/1999 16:10:30

USER ID: VCOUGHLI

STMT DT: 12/22/1999

STATUS: AUDITED

CURRENCY: USD

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
REPO	9,999
SECURITIES LOANED	8,888
BANK LOANS	7,777
PAYABLE TO B/D	7,654
PAYABLE TO CLEARING AGENT	33
LESS TREASURY STOCK	555
	666

☐ SHOW ALL

☐ CREATE ACC STMTNT

☐ MODIFY ACC STMTNT ORDER

908 910 912 914 916

FIG. 9

10/21

1000

MODIFY FINANCIAL STATEMENT

REPUBLIC TRADING

CURRENT STMTNT: 65 1010 STATUS: AUDITED 1006  
 STMTNT DT: 12/22/1999 CRNCY: USD 1008

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM BID	76,576
RECEIVABLE FROM CUSTOMER	999
FAILED TO DELIVER	6,777
RECEIVABLE - OTHER	
OTHER	
<b>TOTAL ASSETS</b>	<b>371,018</b>

1012 SAVE 1014 CLOSE

1002 1004

FIG. 10

11/21

1100

NOTE INFORMATION

REPUBLIC TRADING

NOTE TYPE LIST TYPE: GENERAL

NOTE ID	USER MODIFIED	DATE MODIFIED
#21	JONES	12/10/1999 13:58:34

1110

1102

NOTE

1108

1104

1106

1112

SHOW ALL DELETE TYPE 1116

1114

CREATE NEW TYPE

1118

1120

1122

1124

1126

SAVE DELETE NEW REFRESH CLOSE

FIG. 11

FIG. 12

FIG. 12

13/21

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ACCOUNT LIMIT LIST									
REPUBLIC TRADING		CNTRPTY LVL LIMIT FOR US TREASURY		4 ACCOUNT(S) WITHOUT ACCOUNT LEVEL LIMIT: CNTRPTY LEVEL LIMIT IS APPLIED		EXPORT		PRINT	
LBE NET: 9,000,000		MTM NET: 0		CURRENT LIMIT TYP: PRESUMED STL		ACCT# ACCOUNT NAME		BE IDID BROKER ACTIVE	
LBE GROSS: 6,000,000		MTM GROSS: 0		NEW LIMIT TYP: PRESUMED STL		31037 REPUBLIC TRADING		U559 KH	
VAR NET: 0		PRNL NET: 0		INIT WARNING%: 70		31036 REPUBLIC TRADING		G123 KH	
VAR GROSS: 0		PRNL GROSS: 0		USER MODIFIED:		31035 REPUBLIC TRADING		G122 KH	
CURRENCY: USD		IND LIQUID: <input checked="" type="checkbox"/>		SHUT OFF: <input checked="" type="checkbox"/>		DATE MODIFIED: 08/06/1999		13:02	
31034 REPUBLIC TRADING		G121 KH							
31033 REPUBLIC TRADING		G122 KH							
31032 REPUBLIC TRADING		G123 KH							
31031 REPUBLIC TRADING		G124 KH							
31030 REPUBLIC TRADING		G125 KH							
31029 REPUBLIC TRADING		G126 KH							
31028 REPUBLIC TRADING		G127 KH							
31027 REPUBLIC TRADING		G128 KH							
31026 REPUBLIC TRADING		G129 KH							
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31024 REPUBLIC TRADING		G131 KH							
31023 REPUBLIC TRADING		G132 KH							
31022 REPUBLIC TRADING		G133 KH							
31021 REPUBLIC TRADING		G134 KH							
31020 REPUBLIC TRADING		G135 KH							
31019 REPUBLIC TRADING		G136 KH							
31018 REPUBLIC TRADING		G137 KH							
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31011 REPUBLIC TRADING		G144 KH							
31010 REPUBLIC TRADING		G145 KH							
31009 REPUBLIC TRADING		G146 KH							
31008 REPUBLIC TRADING		G147 KH							
31007 REPUBLIC TRADING		G148 KH							
31006 REPUBLIC TRADING		G149 KH							
31005 REPUBLIC TRADING		G150 KH							
31004 REPUBLIC TRADING		G151 KH							
31003 REPUBLIC TRADING		G152 KH							
31002 REPUBLIC TRADING		G153 KH							
31001 REPUBLIC TRADING		G154 KH							
31000 REPUBLIC TRADING		G155 KH							
30999 REPUBLIC TRADING		G156 KH							
30998 REPUBLIC TRADING		G157 KH							
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30971 REPUBLIC TRADING		G184 KH							
30970 REPUBLIC TRADING		G185 KH							
30969 REPUBLIC TRADING		G186 KH							
30968 REPUBLIC TRADING		G187 KH							
30967 REPUBLIC TRADING		G188 KH							
30966 REPUBLIC TRADING		G189 KH							
30965 REPUBLIC TRADING		G190 KH							
30964 REPUBLIC TRADING		G191 KH							
30963 REPUBLIC TRADING		G192 KH							
30962 REPUBLIC TRADING		G193 KH							
30961 REPUBLIC TRADING		G194 KH							
30960 REPUBLIC TRADING		G195 KH							
30959 REPUBLIC TRADING		G196 KH							
30958 REPUBLIC TRADING		G197 KH							
30957 REPUBLIC TRADING		G198 KH							
30956 REPUBLIC TRADING		G199 KH							
30955 REPUBLIC TRADING		G200 KH							
30954 REPUBLIC TRADING		G201 KH							
30953 REPUBLIC TRADING		G202 KH							
30952 REPUBLIC TRADING		G203 KH							
30951 REPUBLIC TRADING		G204 KH							
30950 REPUBLIC TRADING		G205 KH							
30949 REPUBLIC TRADING		G206 KH							
30948 REPUBLIC TRADING		G207 KH							
30947 REPUBLIC TRADING		G208 KH							
30946 REPUBLIC TRADING		G209 KH							
30945 REPUBLIC TRADING		G210 KH							
30944 REPUBLIC TRADING		G211 KH							
30943 REPUBLIC TRADING		G212 KH							
30942 REPUBLIC TRADING		G213 KH							
30941 REPUBLIC TRADING		G214 KH							
30940 REPUBLIC TRADING		G215 KH							
30939 REPUBLIC TRADING		G216 KH							
30938 REPUBLIC TRADING		G217 KH							
30937 REPUBLIC TRADING		G218 KH							
30936 REPUBLIC TRADING		G219 KH							
30935 REPUBLIC TRADING		G220 KH							
30934 REPUBLIC TRADING		G221 KH							
30933 REPUBLIC TRADING		G222 KH							
30932 REPUBLIC TRADING		G223 KH							
30931 REPUBLIC TRADING		G224 KH							
30930 REPUBLIC TRADING		G225 KH							
30929 REPUBLIC TRADING		G226 KH							
30928 REPUBLIC TRADING		G227 KH							
30927 REPUBLIC TRADING		G228 KH							
30926 REPUBLIC TRADING		G229 KH							
30925 REPUBLIC TRADING		G230 KH							
30924 REPUBLIC TRADING		G231 KH							
30923 REPUBLIC TRADING		G232 KH							
30922 REPUBLIC TRADING		G233 KH							
30921 REPUBLIC TRADING		G234 KH							
30920 REPUBLIC TRADING		G235 KH							
30919 REPUBLIC TRADING		G236 KH							
30918 REPUBLIC TRADING		G237 KH							
30917 REPUBLIC TRADING		G238 KH							
30916 REPUBLIC TRADING		G239 KH							
30915 REPUBLIC TRADING		G240 KH							
30914 REPUBLIC TRADING		G241 KH							
30913 REPUBLIC TRADING		G242 KH							
30912 REPUBLIC TRADING		G243 KH							
30911 REPUBLIC TRADING		G244 KH							
30910 REPUBLIC TRADING		G245 KH							
30909 REPUBLIC TRADING		G246 KH							
30908 REPUBLIC TRADING		G247 KH							
30907 REPUBLIC TRADING		G248 KH							
30906 REPUBLIC TRADING		G249 KH							
30905 REPUBLIC TRADING		G250 KH							
30904 REPUBLIC TRADING		G251 KH							
30903 REPUBLIC TRADING		G252 KH							
30902 REPUBLIC TRADING		G253 KH							
30901 REPUBLIC TRADING		G254 KH							
30900 REPUBLIC TRADING		G255 KH							
30899 REPUBLIC TRADING		G256 KH							
30898 REPUBLIC TRADING		G257 KH							
30897 REPUBLIC TRADING		G258 KH							
30896 REPUBLIC TRADING		G259 KH							
30895 REPUBLIC TRADING		G260 KH							
30894 REPUBLIC TRADING		G261 KH							
30893 REPUBLIC TRADING		G262 KH							
30892 REPUBLIC TRADING		G263 KH							
30891 REPUBLIC TRADING		G264 KH							
30890 REPUBLIC TRADING		G265 KH							
30889 REPUBLIC TRADING		G266 KH							
30888 REPUBLIC TRADING		G267 KH							
30887 REPUBLIC TRADING		G268 KH							
30886 REPUBLIC TRADING		G269 KH							
30885 REPUBLIC TRADING		G270 KH							
30884 REPUBLIC TRADING		G271 KH							
30883 REPUBLIC TRADING		G272 KH							
30882 REPUBLIC TRADING		G273 KH							
30881 REPUBLIC TRADING		G274 KH							
30880 REPUBLIC TRADING		G275 KH							
30879 REPUBLIC TRADING		G276 KH							
30878 REPUBLIC TRADING		G277 KH							
30877 REPUBLIC TRADING		G278 KH							
30876 REPUBLIC TRADING		G279 KH							
30875 REPUBLIC TRADING		G280 KH							
30874 REPUBLIC TRADING		G281 KH							
30873 REPUBLIC TRADING		G282 KH							
30872 REPUBLIC TRADING		G283 KH							
30871 REPUBLIC TRADING		G284 KH							
30870 REPUBLIC TRADING		G285 KH							
30869 REPUBLIC TRADING		G286 KH							
30868 REPUBLIC TRADING		G287 KH							
30867 REPUBLIC TRADING		G288 KH							
30866 REPUBLIC TRADING		G289 KH							
30865 REPUBLIC TRADING		G290 KH							
30864 REPUBLIC TRADING		G291 KH							
30863 REPUBLIC TRADING		G292 KH							
30862 REPUBLIC TRADING		G293 KH							
30861 REPUBLIC TRADING		G294 KH							
30860 REPUBLIC TRADING		G295 KH							
30859 REPUBLIC TRADING		G296 KH							
30858 REPUBLIC TRADING		G297 KH							
30857 REPUBLIC TRADING		G298 KH							
30856 REPUBLIC TRADING		G299 KH							
30855 REPUBLIC TRADING		G300 KH							
30854 REPUBLIC TRADING		G301 KH							

14/21

FIG. 14

1400

ENTER LIMIT

LIMIT SUBCATEGORY: US TREASURY

CURRENT LIMIT TYPE: PRESUMED STLM

LBE NET LIMIT: 30,000,000 ☐ MAX

LBE GROSS LIMIT: 60,000,000 ☐ MAX

VAR GROSS LIMIT: 0 ☐ MAX

VAR NET LIMIT: 0 ☐ MAX

MTM GROSS LIMIT: 0 ☐ MAX

MTM NET LIMIT: 1,000,000 ☐ MAX

PRINCIPAL GROSS LIMIT: 0 ☐ MAX

PRINCIPAL NET LIMIT: 0 ☐ MAX

ID CURRENCY: USD ☐

INITAL WARNING LEVEL: 70 %

WARNING INTERVAL: 10 %

IND LIQUIDATE: ☒ YES ☐ NO

IND SHUT OFF: ☒ YES ☐ NO

USER MODIFIED: ADELATOR

DATE MODIFIED: 08/10/1999 16:20:17

1404

1406

SAVE CLOSE

15/21

POSITION VS LIMIT

1504

1506

1510

1508

1500

1512

1514

POSITION VS LIMIT DATE 12/09/1999 14:04:07 PAGE 1 OF 1

CNTRPTY	NAME	LIMIT TYPE	NEW LIMIT TYPE	LIMIT SUBCAT	SHUT OFF	% INIT	QTY	LBE NET POSITION	LBE NET LIMIT	% LBE NET
1788	REPUBLIC TRADING	PRESUM STLMT	PRESUM STLMT	CX FUTURES	<input type="checkbox"/>	70	400,000,000	40,000,000	200,000,000	20.00

1520

1518

1516

POSITION VS LIMIT

1504

1506

1510

1508

1500

1512

1514

POSITION VS LIMIT DATE 12/09/1999 14:04:07 PAGE 1 OF 1

CNTRPTY	NAME	LIMIT TYPE	NEW LIMIT TYPE	LIMIT SUBCAT	SHUT OFF	% INIT	QTY	LBE NET POSITION	LBE NET LIMIT	% LBE NET
1788	REPUBLIC TRADING	PRESUM STLMT	PRESUM STLMT	CX FUTURES	<input type="checkbox"/>	70	400,000,000	40,000,000	200,000,000	20.00

1520

1518

1516

FIG. 15

16/21

POSITION VS LIMIT ACCOUNT DETAIL

☐ ☐ ☐

READY TRADE

ACCOUNT LEVEL POSITION VS. LIMIT FOR CX FUTURES DATE: 12/22/1999 16:38:41 PAGE 1 OF 1

ACCOUNT #	ACCOUNT NAME	ACTIVE	SHUT OFF	%INIT	QUANTITY	LBE NET POSITION	LBE NET LIMIT	%LBE NET	LBE POSITION	LBE GROSS LIMIT
TOTAL:										
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	<input type="checkbox"/>		101	-7,795,276			7,952,756	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	<input type="checkbox"/>		50	-3,937,008		0.00	3,937,008	
					51	-3,858,268		0.00	4,015,748	

ROW COUNT 2

FIG. 16

1604

1602

1600

1601



17/21

109160-10555260

POSITION VS LIMIT

READY TRADE

1704

1700

CX FUTURES: LIMIT VS POSITION TRANSACTIONS DATE: 12/22/1999 16:37:19 PAGE 1 OF 1														
ACCOUNT ID	ID	NM	SECURITY	QUANTITY	LBE	PRINCIPAL	PRICE	MM/VAR	TRADE ID	ORGTR	TR ROOM	BUY/SELL	STAT	FAIL
TOTAL:				101	-7,795,276	10,000								
9587	8	199906		25	-1,968,504	2,475	99.0000		1999101401169200002	2		SE	HD	ELB
9587	8	199906		25	-1,968,504	2,475	99.0000		1999101401169300002	2		SE	HD	ELB
9589	8	199906		25	-1,968,504	2,475	99.0000		1999101401169400002	2		SE	HD	ELB
9589	8	199906		25	-1,968,504	2,475	99.0000		1999101401169500002	2		SE	HD	ELB
9587	8	199906		1	78,740	100	100.3438		1999101401169000001	2		BU	HD	ELB

ROW COUNT

5

PRINT

EXPORT

CLOSE

FIG. 17

1706

1702

18/21

1804 SELECT LIMIT CAT  
 [US DEBT MARKETS] ▾

1806 SUBCAT LIST  
 [US TREASURY  
 CX FUTURES]

1800 REFRESH  
☒ AUTOMATIC EVERY 30 [GO]  
☐ MANUAL

OPTIONS  
☒ SELECT ALL  
☐ UNSELECT ALL  
 [RETRIEVE]

TODAY'S POSITION DATE: 12/22/1999 16:44:21 PAGE 1 OF 18

ID	COUNTERPARTY NAME	LIMIT SUBCATEGORY	QUANTITY	LBE NET POSITION	LBE GROSS POSITION	LBE LONG POS	LBE SHORT POS	VAR NET POSITION
TOTAL:	1784	READY TRADE	35,452	0	2,984,722,799	1,492,361,400	1,492,361,400	0
		CX FUTURES	101	-7,795,276	7,952,756	78,740	7,874,016	0

1802

ROW COUNT [1]

[ACCOUNT] [TRANSACTION] [PRINT] [CLOSE]

1810

FIG. 18

19/21

TODAY'S ACCOUNT POSITION

READY TRADE

TODAY'S ACCOUNT POSITION FOR CX FUTURES DATE: 12/22/1999 16:45:24

PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
TOTAL:			101	-7,795,276	7,952,756	78,740	7,874,016	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	51	-3,858,268	4,015,748	78,740	3,937,008	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	50	-3,937,008	3,937,008	0	3,937,008	

4

1902

ROW COUNT

2

PRINT

EXPORT

CLOSE

1904

FIG. 19

20/21

2002
2004
2006
2008
2010

CUMULATIVE POSITION

LIMIT CATEGORY  
[US DEBT MARKETS]

LIMIT SUBCATEGORY  
[US TREASURY  
CX FUTURES]

OPTIONS

☒ SELECT ALL  
☐ UNSELECT ALL

REFRESH

☒ AUTOMATIC EVERY 30  
☐ MANUAL

GO

RETRIEVE

CUMULATIVE POSITION DATE: 12/22/1999 16:44:58 PAGE 1 OF 86									
ID	COUNTERPARTY CNTPY NAME	LIMIT SUBCATEGORY	QUANTITY	LBE NET POSITION	LBE GROSS POSITION	LBE LONG POS	LBE SHORT POS	VAR NET POSITION	
TOTAL:			3,802,635,452	181,028,943	5,632,923,827	2,906,976,385	2,725,947,442	0	
606	READY TRADE	US TREASURY	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	0	

ROW COUNT [20]

ACCOUNT

TRANSACTION

PRINT

CLOSE

FIG. 20

21/21

CUMULATIVE ACCOUNT POSITION

READY TRADE

CUMULATIVE ACCOUNT POSITION FOR US TREASURY DATE: 12/22/1999 16:48:09
PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
<b>TOTAL:</b>								
9997	BOB	<input checked="" type="checkbox"/>	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	
1031	MIKE	<input checked="" type="checkbox"/>	15,000,000	-1,562,500	7,812,500	3,125,000	4,687,500	
			30,000,000	0	15,625,000	7,812,500	7,812,500	

ROW COUNT 2

PRINT

EXPORT

CLOSE

FIG. 21

2102

2100

2104

100150 16555260